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| Form PTO-1390 | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY'S DOCKET NUMBER P26459 |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/518,377 | |
| INTERNATIONAL APPLICATION NO. PCT/KR2003/01279 | INTERNATIONAL FILING DATE 28 June 2003 | PRIORITY DATE CLAIMED 29 June 2002 | |
| TITLE OF INVENTION HANSENULA POLYMORPHA YAPSIN DEFICIENT MUTANT STRAIN AND PROCESS FOR THE PREPARATION OF RECOMBINANT PROTEINS USING THE SAME | | | |
| APPLICANT(S) FOR DO/EO/US Hyun-Ah KANG, Sang-Ki RHEE, Min-Jeong SOHN and Jeong-Yoon KIM | | | |
| <p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.</p> <ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (23) indicated below. 4. <input type="checkbox"/> The US has been elected (PCT Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154 (d) (4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. .371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <p>Items 11 to 22 below concern other document(s) or information included:</p> <ol style="list-style-type: none"> 11. Assignee: <u>Korea Research Institute of Bioscience and Biotechnology, of Daejeon, REPUBLIC OF KOREA, LeadBio, Inc., of Dajeon, REPUBLIC OF KOREA and BioHoldings Co., Ltd., of Dajeon, REPUBLIC OF KOREA.</u> 12. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 13. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 14. <input type="checkbox"/> A FIRST preliminary amendment. <input checked="" type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> An Application Data Sheet under 37 C.F.R. 1.76. 16. <input type="checkbox"/> A substitute specification. 17. <input type="checkbox"/> A power of attorney and/or change of address letter. 18. <input type="checkbox"/> Figure of Drawing to be published: 19. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825. (with paper copy/written of the Same) 20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154 (d) (4). 21. <input type="checkbox"/> A second copy of the English language translation of the international of the international application under 35 U.S.C. 154 (d) (4). 22. <input checked="" type="checkbox"/> Other items or information: Cover Letter. Response To Notification To Comply With Requirements For Patent Applications Containing Nucleotide And/Or Amino Acid Sequence Listing and Supplemental Preliminary Amendment. Statement That The Content Of The Paper And Computer Readable Are the Same. Copy of form PCT/DO/EO/992 (Notification to Comply Requirements). | | | |

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| U.S. APPLICATION NO. (If known, see CFR 1.5) 10/518,377 | | INTERNATIONAL APPLICATION NO. PCT/KR2003/001279 | | ATTORNEY'S DOCKET NUMBER P26459 | |
| <p>23 <input type="checkbox"/> The following fees are submitted: Basic national fee.....\$300.00</p> <p>24 <input type="checkbox"/> Examination Fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33 (1)-(4).....\$100.00 All other situations.....\$200.00</p> <p>25 <input type="checkbox"/> Search fee Search fee (37 CFR 1.445(a) (2)) has been paid on the international application to the USPTO as an International Searching Authority.....\$100.00 International Search Report prepared and provided to the Office.....\$400.00 All other situations.....\$500.00</p> | | | | CALCULATIONS \$0.00 | PTO USE ONLY |
| TOTAL 23, 24 and 25 = | | | | \$0.00 | |
| <input type="checkbox"/> Additional Fee for Specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| -100= | /50 = | | x \$250.00 | \$0.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)). | | | | \$0.00 | |
| Claims | Number Filed | Number Extra | Rate | | |
| Total Claims | - 20 = | | x \$50.00 | \$0.00 | |
| Independent Claims | - 3 = | | x \$200.00 | \$0.00 | |
| Multiple Dependent Claim(s) (if applicable) | | | + \$360.00 | \$0.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$0.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½ . | | | | \$0.00 | |
| | | | | SUBTOTAL = | \$0.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (i)). | | | | \$0.00 | |
| Extension of Time fee in the amount of \$ | | | | \$0.00 | |
| TOTAL NATIONAL FEE = | | | | \$0.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$0.00 | |
| TOTAL FEES ENCLOSED = | | | | \$0.00 | |
| | | | | Amount to be refunded | \$ |
| | | | | Charged | \$ |
| a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is included. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. c. <input checked="" type="checkbox"/> The U.S. Patent and Trademark Office is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0089. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO CUSTOMER NO. 07055 AT THE PRESENT ADDRESS OF: Bruce H. Bernstein GREENBLUM & BERNSTEIN, P.L.C. 1950 Roland Clark Place Reston, VA 20191 (703) 716-1191 | | | | | |
| Stephen M. Roylance Reg. No. 31,296 Bruce H. Bernstein NAME 29,027 REGISTRATION NUMBER | | | | | |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Hyun-Ah KANG et al. **Mail Stop PCT**
Appl. No: : 10/518,377 (National Stage of PCT/KR03/01279) **PCT Branch**
I. A. Filed : December 28, 2004
For : TITLE OF INVENTION: HANSENULA POLYMORPHA YAPSIN DEFICIENT MUTANT STRAIN AND PROCESS FOR THE PREPARATION OF RECOMBINANT PROTEINS USING THE SAME

COVER LETTER**Mail Stop PCT**

U.S. Patent and Trademark Office
Customer Service Window, Mail Stop PCT
Randolph Building
401 Dulany Street
Alexandria, VA 22314

Sir:

In response to the Notification To Comply With Requirements For Patent Applications Containing Nucleotide And/Or Amino Acid Sequence Disclosures of the International Application (copy attached) of April 5, 2005, the period for response being set to expire June 6, 2005 (being that June 5, 2005 falls on a Sunday), please find enclosed:

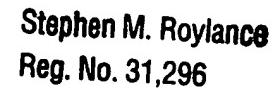
- a Response to Notification to comply with Requirements for Patent Applications Containing Nucleotide And/Or Amino Acid Sequence Listing and Supplemental Preliminary Amendment;
- a Statement That The Content Of The Paper And Computer Readable Are the Same;
- a Diskette containing sequence listing, with paper copy/written of the same (including 10 pages);

The U.S. Patent and Trademark Office is hereby authorized to charge any additional fees, or credit any overpayment to Deposit Account No. 19-0089.

Respectfully submitted,
Hyun-Ah KANG et al.



Bruce H. Bernstein
Reg. No. 29,027


Stephen M. Roylance
Reg. No. 31,296

June 6, 2005
GREENBLUM & BERNSTEIN, P.L.C.
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(703) 716-1191



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
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 P.O. Box 1450
 Alexandria, Virginia 22313-1450
www.uspto.gov

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| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 10/518,377 | Hyun-Ah Kang | P26459 |
| | | INTERNATIONAL APPLICATION NO. |
| | | PCT/KR03/01279 |
| | | IA. FILING DATE PRIORITY DATE |
| | | 06/28/2003 06/29/2002 |
| <div style="text-align: center;"> RECEIVED APR 11 2005 GREENBLUM & BERNSTEIN PLC </div> | | |

Date Mailed: 04/05/2005

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
 CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- **For Rules Interpretation, call (571) 272-0951**
- **For Patent Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.**

- Send e-mail correspondence for Patentin Software Program Help @ ebc@uspto.gov

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

A copy of this notice MUST be returned with the response.

SHAKEEL AHMED

Telephone: (703) 308-9140 EXT 208

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/518,377 | PCT/KR03/01279 | P26459 |

FORM PCT/DO/EO/922 (371 Formalities Notice)